



ARIZONA DEPARTMENT OF ECONOMIC SECURITY

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April 29, 2002

WORKFORCE INFORMATION POLICY MEMO (WIP) #7-02

SUBJECT: Guidelines for the Local Workforce Investment Areas (LWIAs) and Tribal Administrative Entities (AEs) to Provide Data Extractions for Quarterly and Annual Reporting to the State Workforce Development Administration

REFERENCE: Workforce Investment Act (WIA) P.L. 105-220 dated August 7, 1998, Section 136(d)(1), Section 136 (f)(2) and 185(2). WIA Final Rules, 20 CFR Part 666 et al., Subpart A Section 666.150(a); Part 667 et al., Subpart C Section 667.300 (a)(d)(e)(4); Training and Employment Guidance Letter (TEGL) No. 14-00 dated September 21, 2000; TEGL No. 14-00 Change 1 dated October 1, 2001.

BACKGROUND: The Workforce Development Administration (WDA) is required by the Department of Labor (DOL) to submit a Quarterly Summary Report to provide the DOL with the most recent performance information. Under the provisions in the Workforce Investment Act, each state must also submit a report annually to the Secretary of Labor. Under the Act, state performance is derived from the collective outcomes of all Local Workforce Investment Areas (LWIAs) in the state.

With the commencement of reporting for PY2000, the WDA recognized the need to implement a formal reporting process and provide LWIAs with appropriate instructions delineating the roles, responsibilities and deadlines for both the state and LWIAs to ensure uniform, timely and accurate reporting. The WDA is also cognizant of the need to solicit LWIA and tribal directors' feedback before submitting quarterly and annual performance outcomes to the DOL.

The Quarterly Report (9090) presents the DOL with a summary picture of the state's overall performance outcomes. The Annual Report (9091) provides Congress and other stakeholders a more detailed account of the state's performance for the year, which is further substantiated by the display of individual local area outcomes. The Annual Report is due from the state to the DOL by December 1st of each year.

PURPOSE: This document presents formal policy and guidance to local areas to assist with understanding the data captured and relevant time frames used in the quarterly and annual reports. This document also implements new reporting deadlines for LWIA and Tribal AE submissions of data extraction files used to generate the quarterly and annual reports for the DOL and Congress, based on the state's reporting deadlines to the DOL.

Attachment A explains the information technology processes and sequences necessary to achieve a consistent level of reporting, which also allows for consistent communication of local performance outcomes to, and reception of feedback from, the LWIA and tribal program directors.

TIMEFRAMES

Effective June 30, 2002, LWIAs and Tribal AEs are required to submit quarterly data extractions to the WDA no later than 9:00 a.m. on the 14th day following the end of each quarter.

Due to the requirements set forth in the Workforce Investment Act that require states to use UI wage information as the primary data source for all employment-related performance measures, the nature of reporting is very time consuming and, therefore, requires extensive coordination between the state and the local areas.

Accessing the UI wage files requires further coordination with DES Research Administration, and timing is of the essence to achieve a level of consistent and accurate reporting to the DOL. *Once the Research Administration receives the list of SSNs for matching against the UI wage file and prepares the job, it is a timely process that cannot be easily repeated when late data files are received.* Stringent time frames and communication are crucial to this overall process at the state and local levels and lend to protecting the integrity of local data, while guaranteeing reliable data to the federal constituency and other stakeholders.

The WDA is required to submit quarterly reports to the Department of Labor 45 days following the end of each quarter as follows:

November 14	1 st Quarter	(July 1 – September 30)
February 14	2 nd Quarter	(July 1 – December 31)
May 15	3 rd Quarter	(July 1 – March 31)
August 14*	4 th Quarter	(July 1 – June 30)
December 1*	Annual Report	(July 1 – June 30)

Beginning June 30, 2002, all LWIA data extractions are due for submission to the state WDA Technical Support Unit by 9:00 a.m. on the 14th day of the month following the end of each quarter (If the 14th occurs on a Saturday or Sunday, the extraction will be due at 9:00 a.m. the following Monday) as follows:

October 14	1 st Quarter	(July 1 – September 30)
January 14	2 nd Quarter	(July 1 – December 31)
April 14	3 rd Quarter	(July 1 – March 31)
July 14	4 th Quarter	(July 1 – June 30)

*Following the April 14th submission of extract files, LWIA staff should begin a quality assurance review of **all** participant records (10/01 through 6/30) in the WIA Participant Tracking System (PTS) which will be used for the 4th quarter report (due July 14) and ultimately, the annual report. Staff should “clean” the database records, as necessary, to ensure the data accurately reflects outcomes related to performance. This process of reviewing and clean-up of data should continue until the October 14th data submission, as this will be the final submission of PY data that will be used to generate the Annual Report performance outcomes for the state and all LWIAs. (Please note: See Attachment B for the time frames within which participant data is collected and reported.)

Data extractions are to be submitted to the WDA Technical Support Unit (TSU) via email at WIAhelpdesk@de.state.az.us, or by sending a hard disk to:

Arizona Department of Economic Security
Workforce Development Administration
Attn: WIA Help Desk
1789 W. Jefferson, Site Code 920Z
Phoenix, AZ 85007

In an effort to prevent unforeseen circumstances which may delay the file from being received by the 9:00 a.m. deadline on the 14th, the WDA strongly advises local area staff to begin preparation of data extraction files *at least* two to three days prior to the actual due date and submit the extraction by 5:00 p.m. on the 13th of the month. It will be the local area's responsibility to seek assistance from the WDA Help Desk *prior to the deadline* in the event that problems are identified which could prohibit the area from meeting the deadline.

Early submission of data files allows the WDA TSU to review data submissions, identify errors (such as files submitted with no data or incorrect file structure), and coordinate with local area staff to resolve the issue (i.e., having the local area resubmit the correct file) without causing delays to, or infringing upon, the stringent information processing time frames.

At 9:00 a.m. on the 14th of the month, the WDA TSU will begin "checking in" LWIA data files. By 11:00 a.m., the quality assurance (QA) liaison (see Attachment D) responsible for oversight and monitoring of the respective local area will be notified if an area fails to meet the requisite deadline.

Files that are received after the 9:00 a.m. deadline on the 14th **will not** be included in the data processed for the DOL quarterly report for that reporting period unless there is a valid reason such as the sending/receiving email server being down or backlogged.

By 1:00 p.m., if a file is not received, the QA liaison will telephone the LWIA MIS contact person responsible for submitting the data extraction, and will forward an email to the LWIA and tribal program directors, with a copy to the WDA Administrator, notifying him/her of the missing file. The QA Liaison will troubleshoot with the MIS staff contact to determine why the file was not submitted/received. If there is a valid reason for the failed submission, the QA liaison will provide technical assistance and will accept the data if submitted by 3:00 p.m. on the same day. If it is an invalid reason, the director will be notified that the automation process will move forward without that area's quarterly extraction.

Prior to transmitting the quarterly report to the DOL, the WDA will forward a hard copy (see Attachment C) of the report to LWIA and tribal program directors.

With respect to the Annual Report, a draft of the report containing the local area performance tables (see Attachment B) will be forwarded to all directors one month prior to the DOL's deadline of December 1st. LWIA directors should contact Ms. Gwen LeaMon, (email and telephone number are at the end of this document), with any feedback or concerns.

LWIAs that fail to meet the requisite deadline for two consecutive quarters may be sanctioned by the WDA. A Workforce Information Policy outlining the procedures for sanctioning is forthcoming.

The following attachments are included with this guidance to provide further detail and information:

Attachment A presents a detailed outline of the preparation process, automated processing steps, and correlating time frames which occur when local data extraction files are received by the WDA.

Attachment B consists of an example of the local area performance table (Table O) which is included in the Annual Report to DOL for each LWIA. Tables A-N and Table M of the Annual Report contain statewide outcomes and other reporting requirements, while Table O displays performance outcomes for each LWIA. In the included example, each field in the table has an explanation indicating whether the information or measure is calculated based on individuals who exited during the actual program year or those that exited in the last three quarters of the prior program year and the first quarter of the current program year (wage-related measures). For more detailed information regarding Annual Report requirements, LWIAs should refer to TEGL 14-00, change 1 at www.usworkforce.org.

Attachment C consists of an example of the quarterly report submitted to the DOL forty-five (45) days following the end of each quarter. The report provides the DOL with an *aggregate* summary of the overall state performance. The quarterly report does provide the statewide numerator and denominator, as appropriate, where it is necessary to calculate the outcomes. For more detailed information regarding quarterly report requirements, LWIAs should refer to TEGL 14-00, Change 1 at www.usworkforce.org.

Attachment D is a list of the WDA QA liaisons, their telephone numbers and the LWIAs they are responsible for monitoring.

ACTION REQUIRED: Prior to the submission of data extractions due on July 14, 2002, LWIA and tribal program directors are required to review this policy and the enclosed document in its entirety and widely circulate it to all MIS and case management staff.

Please direct any questions to Ms. Gwen LeaMon, Management Analyst II, at (602) 542-2492 or gleamon@mail.de.state.az.us.

Sincerely,

Stan Flowers
Program Administrator (Acting)
Workforce Development Administration

SF:gg

Attachments

Attachment A

Preparation Timeframes

Effective June 30, 2002, LWIAs and Tribal AEs are required to submit quarterly data extractions by 9:00 a.m. on the 14th day of the month following the end of a quarter.

Due to the involved process of preparing the data for reporting to DOL, it is imperative that areas meet the 9:00 a.m. deadline. Timely submission of data extractions permits the state time to edit and process data and return the reports to local areas **prior** to the final submission to DOL.

State Workforce Development Administration (WDA) staff will coordinate the following tasks internally and with local staff, as necessary, in an effort to encourage timely submissions of data.

- ✓ **Fourteen** (14) days prior to the due date, the WDA Technical Support Manager will forward an email reminder to all LWIA and Tribal AE MIS staff persons responsible for preparing and submitting the quarterly data extractions. If local area staff have any difficulty with preparing the data extraction or determine there may be problems which may impede meeting the deadline, **it is the local area's responsibility to contact its Quality Assurance (QA) liaison immediately for assistance to prevent the delay.**
- ✓ By 9:00 a.m. on the 14th day of the month, the WDA TSU checks files to ensure all have been received.
- ✓ By 11:00 a.m., TSU staff notifies the QA liaison(s) of any local area(s) or Tribal AE(s) that failed to meet the required deadline.
- ✓ The QA Liaison responsible for monitoring the LWIA/Tribal AE will contact the MIS staff person by 1:00 p.m. to inquire about the missing data extraction file. An email will be forwarded to the LWIA/AE director with a copy to the WDA program administrator informing him/her of the circumstances. If the area has a valid reason for failing to meet the deadline, the QA liaison will assist the local staff with resolving the issue that is preventing the data extraction from reaching the state WDA.
- ✓ Following the communication with the LWIA, the QA liaison will follow-up with the TSU, advising of the status and/or indicating the file has been resubmitted and received. Files **must** be resubmitted by 3:00 p.m. on the same day.
- ✓ The WDA TSU will begin preparations to import data at 3:00 p.m. on the 14th day of the month. Data extractions not received by the due date and time for reasons other than those dilemmas beyond staff control (i.e., state/local email server not operational, etc.) will be excluded from the quarterly report submitted to the Department of Labor.

INFORMATION PROCESSING STEPS AND TURNAROUND TIME LINE

Data extraction files received on the 14th go through the following preparation procedures, collectively, beginning on the 14th of the month:

- Step 1:** (Day 1 – 5) The Technical Support Unit (TSU) prepares data extraction files and begins importing all data files into the state's WIA PTS. The data is put through a preliminary edit check, which simply verifies that the file format is intact.
- Step 2:** (Day 6 – 8) The TSU creates an electronic file consisting of participant SSNs and provides the file to DES Research Administration to match against the UI wage database file.
- Step 3:** (Day 9 – 13) Research Administration matches the SSNs to the UI wage record database to determine pre-registration/dislocation and post-exit quarter wages for all exiters and then provides the electronic file containing the wages back to the WDA Tech Support Unit.
- Step 4:** (Day 14 – 16) WDA TSU receives the electronic file back from Research and incorporates the wage data into a text file, which is then imported into the DOL WIASRD database program. This database was developed by Social Policy Research, a contractor for the DOL, and is used to generate the quarterly and annual performance reports.
- Step 5:** (Day 17 – 21) The TSU prepares the Quarterly Summary Report for submission to DOL. TSU staff will also generate an individual **quarterly** report for each LWIA/Tribal AE (see Attachment C).
- Step 6:** (Day 21) Hard copies of both the statewide quarterly report and individual quarterly reports are printed and mailed to the LWIA and tribal program director.
- Step 7:** TSU staff transmits the quarterly report to the DOL via an online reporting system by the quarterly due date [outlined on page 2].

Attachment B

**Table O – Local Performance
(By Individual Local Workforce Investment Area)
EXAMPLE**

This table is included in the Annual Report submitted to the DOL December 1st by the WDA. Each area's performance and total served/exited are represented in this table format. CAUTION: The number served/exited does not necessarily total the numerator/denominators because the performance period is based on multiple timeframes. Please review CAREFULLY. If there are questions, please contact Ms. Gwen LeaMon at gleamon@mail.de.state.az.us or (602) 542-2492.

Local Area Name XXXXXXX COUNTY	Total Participants Served (A)	Adults	(A). These figures only reflect individuals served and exited during the actual Program Year July 1 to June 30. Total Participants Served includes participants “carried over” into the new program year.
		Dislocated Workers	
		Older Youth	
		Younger Youth	
ETA Assigned # #### (Assigned by DOL)	Total Exitters (A)	Adults	
		Dislocated Workers	
		Older Youth	
		Younger Youth	
		Negotiated Performance Level	Actual Performance Level
Customer Satisfaction	Program Participants (B) ←	(B). These figures are “Real-Time” and reflect individuals who exit the program <i>and</i> employers receiving services during the current Program Year July 1 to June 30.	
	Employers (B) ←		
Entered Employment Rate	Adults (C) ←	(C). These outcomes are derived from individuals who exited the program the last three quarters of the previous Program Year (October 1 to June 30) and one quarter of the current Program Year (July 1 to September 30). These measures require use of the UI Wage Records.	
	Dislocated Workers (C) ←		
	Older Youth (C) ←		
Retention Rate	Adults (C) ←		
	Dislocated Workers (C) ←		
	Older Youth (C) ←		
	Younger Youth (C) ←		
Earnings Change/Earnings Replacement in Six Months	Adults (C) ←	(D). These outcomes are considered “Real-Time” measures meaning that they are <i>not</i> exit-based. Outcomes are included in performance calculations <i>as they occur</i> during the current Program Year July 1 to June 30.	
	Dislocated Workers (C) ←		
	Older Youth (C) ←		
Credential/Diploma Rate	Adults (C) ←		
	Dislocated Workers (C) ←		
	Older Youth (C) ←		
Skill Attainment Rate	Younger Youth (D) ←		
	Younger Youth (D) ←		

Attachment C

On-line Quarterly Report EXAMPLE

This is an example of the online Quarterly Report which is submitted by the state WDA to the DOL 45 days following the end of each quarter. The data reported is based on the same exit cohorts as in the Annual Report, however, due to the soft exiters, there is a quarter lag associated with some of the outcomes. The quarterly report shows the numerator and denominator for the requisite measures and the number of quarters for which the data is being reported. If there are questions, please contact Ms. Gwen LeaMon at gleamon@mail.de.state.az.us or (602) 542-2492.

Time Period to Cumulate	Performance Items (Cell Content Format)	Program Group	Number of Quarters Reported	Value	Numerator
					Denominator
Program Year (July 1 to June 30)	Total Participants (xxxxx)	Adults			
		Dislocated Workers			
		Younger Youth (14-18)			
		Older Youth (19-21)			
	Total Exiters (xxxx)	Adults			
		Dislocated Workers			
		Younger Youth (14-18)			
		Older Youth (19-21)			
	Customer Satisfaction (xx.x) § 136(d)(1)	For Employers			Numerator
					Denominator
		For Participants			Numerator
					Denominator
	Youth Diploma or Equivalent Rate	Younger Youth (14-18)			Numerator
					Denominator
	Skill Attainment Rate (xxx.x) § 136(d)(1)	Younger Youth (14-18)			Numerator
					Denominator
October 1 to September 30 EXITERS: (Oct 1 – June 30, Previous PY) July 1 – Sep 30, Current PY)	Entered Employment Rate (xx.x%) § 136(d)(1)	Adults			Numerator
					Denominator
		Dislocated Workers			Numerator
					Denominator
	Older Youth (19-21)				Numerator
					Denominator
	Credential and Employment Rate (Adults/Dislocated Workers) or Credential Rate (Older Youth) (xx.x%) § 136(d)(1)	Adults			Numerator
					Denominator
		Dislocated Workers			Numerator
					Denominator
	Older Youth (19-21)				Numerator
					Denominator
	Six Months – Retention Rate (xx.x%) § 136(d)(1)	Adults			Numerator
					Denominator
		Dislocated Workers			Numerator
					Denominator
	Older Youth (19-21)				Numerator
					Denominator
	Younger Youth (14-18)				Numerator
					Denominator
	Six Months – Earnings Change or Earnings Replacement (Sxxxxx) § 136(d)(1)	Adults			Numerator
					Denominator
		Dislocated Workers			Numerator
					Denominator
	Older Youth (19-21)				Numerator
					Denominator

Attachment D

WORKFORCE DEVELOPMENT ADMINISTRATION QUALITY ASSURANCE (QA) LIAISON CONTACT LIST & LWIAs Monitored

Youth & Adult Programs

<u>ROMAN HERERRA</u> (602) 542-2478	<u>MIMI HURTADO</u> (602) 542-2486	<u>MICHAEL MASON</u> (602) 542-2495	<u>TAMI LITZ-GARNER</u> (602) 542-2483
All Tribal AEs Santa Cruz County Cochise County	Apache County Coconino County Navajo County Yuma County	Graham County Greenlee County MO/PAZ Counties Pima County	City of Phoenix Gila/Pinal Counties Maricopa County Yavapai County

Dislocated Workers Program

<u>RON DELGADO</u> (602) 542-2494	<u>FREDDIE DENOGEAN</u> (602) 542-2498
Gila/Pinal County Maricopa County Union Pima County Yavapai County All Tribal AEs Coconino County Cochise County	Apache County Navajo County Yuma County Santa Cruz County City of Phoenix Graham County Greenlee County Mo/Paz County